



01-08-07

1FW Receipt  
CASE PN/4-33146A

FILING BY "EXPRESS MAIL" UNDER 37 CFR 1.10

EV67811321945

Express Mail Label Number

JANUARY 5, 2007

Date of Deposit

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF

Art Unit: 1614

SHUA-HAIM ET AL.

APPLICATION NO: 10/550,380

FILED: SEPTEMBER 21, 2005

FOR: USE OF CARBAMAZEPINE DERIVATIVES FOR THE TREATMENT  
OF AGITATION IN DEMENTIA PATIENTS

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

LETTER CORRECTING OFFICIAL FILING RECEIPT

Sir:

The official filing receipt received in the above-identified application erroneously lists the "Applicant(s)" information. The last name of the second inventor is misspelled. Enclosed is a copy of the Declaration which shows this to be true.

Please issue a corrected filing receipt listing the **Applicant(s)** information as follows:

--Applicant(s) Joshua Shua-Haim, Eatontown, NJ;  
Ferenc **Martenyi**, Budapest, HUNGARY--

A copy of the filing receipt with the correction noted is enclosed.

No fee is believed to be required by this request for a corrected filing receipt.

Respectfully submitted,

Peter J. Waibel  
Attorney for Applicants  
Reg. No. 43,228

Novartis  
Corporate Intellectual Property  
One Health Plaza, Building 104  
East Hanover, NJ 07936-1080  
(862) 778-7951  
Date: JANUARY 5, 2007



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
✓ 10/550,380	✓ 07/12/2006	1614	1130	PN/4-33146A		✓ 7	✓ 2

1095  
NOVARTIS  
CORPORATE INTELLECTUAL PROPERTY  
ONE HEALTH PLAZA 104/3  
EAST HANOVER, NJ 07936-1080



CONFIRMATION NO. 3361

## FILING RECEIPT



\*OC000000021600212\*

Date Mailed: 12/15/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

✓ Joshua Shua-Haim, Eatontown, NJ;  
Ferenc Martenyi, Budapest, HUNGARY;  
Martenyi

Power of Attorney: The patent practitioners associated with Customer Number 1095.

## Domestic Priority data as claimed by applicant

- ✓ This application is a 371 of PCT/EP04/03418 03/31/2004
- ✓ which claims benefit of 60/459,338 04/01/2003

## Foreign Applications

If Required, Foreign Filing License Granted: 06/22/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/550,380**

Projected Publication Date: 03/22/2007

Non-Publication Request: No

Early Publication Request: No



**Title**

Use of carbamazepine derivatives for the treatment of agitation in dementia patients

**Preliminary Class**

514

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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**Title 37, Code of Federal Regulations, 5.11 & 5.15**

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**DECLARATION AND POWER OF ATTORNEY FOR UNITED STATES PATENT APPLICATION**

☒ Original

☐ Supplemental

☐ Substitute

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name, and

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if more than one name is listed below) of the subject matter which is claimed and for which a United States patent is sought on the invention entitled

**Use of Carbamazepine Derivatives for the Treatment of Agitation in Dementia Patients**  
the specification of which:

☐ is attached hereto.

☐ was filed on \_\_\_\_\_ as Application No. \_\_\_\_\_  
(day/month/year)

and, if this box (☐) contains an \*

☐ was amended on \_\_\_\_\_  
(day/month/year)

☒ was filed as Patent Cooperation Treaty international Application No.

PCT/ EP2004/003418 on 31.03.2004  
(day/month/year)

and, if this box (☐) contains an \*

☐ entered the national stage in the United States and was accorded Application No. \_\_\_\_\_

and, if this box (☐) contains an \*

☐ was amended, subsequent to entry into the national stage, on \_\_\_\_\_  
(day/month/year)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) specifically referred to above and, if this application was filed as a Patent Cooperation Treaty international application, by any amendments made during the international stage (including any made under Patent Cooperation Treaty Rule 91, Article 19 and Article 34).

I acknowledge my duty to disclose information which is material to patentability as defined in 37 C.F.R. 1.56, including, for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or Patent Cooperation Treaty international filing date of the continuation-in-part application.

I hereby claim the benefit under 35 U.S.C. 119(a)-(d) or (f) or 365(b) of any foreign application(s) for patent, inventor's certificate or plant breeder's right certificate listed below and under 35 U.S.C. 365(a) of any Patent Cooperation Treaty international application(s) designating at least one country other than the United States listed below and have also listed below any foreign application(s) for patent, inventor's certificate or plant breeder's right certificate and Patent Cooperation Treaty international application(s) designating at least one country other than the United States for the same subject matter and having a filing date before that of the application the priority of which is claimed for that subject matter:

COUNTRY/REGION (OR P.C.T.)	APPLICATION No.	FILING DATE (day/month/year)	PRIORITY CLAIMED
-------------------------------	-----------------	---------------------------------	------------------

☐ Yes    ☐ No  
☐ Yes    ☐ No  
☐ Yes    ☐ No  
☐ Yes    ☐ No  
☐ Yes    ☐ No

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below:

APPLICATION NO.	FILING DATE (day/month/year)
-----------------	---------------------------------

60/459338

01.04.2003

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s) listed below and under 35 U.S.C. 365(c) of any Patent Cooperation Treaty international application(s) designating the United States listed below:

United States Application No.	United States Filing Date (day/month/year)	Status (Pending, Abandoned or U.S. Patent No.)	International Application No. and Filing Date (day/month/year)
----------------------------------	--	--	--

I hereby appoint all of the registered practitioners associated with Customer No. 001095, respectively and individually, as my attorneys and agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

If this box (☐) contains an x ☒, I hereby authorize the registered practitioners associated with Customer No. 001095 and any others acting on my behalf to take any action relating to this application based on communications from Corporate Intellectual Property of Novartis International AG, Basle, Switzerland, or an affiliate thereof or a successor thereto, without direct communication from me.

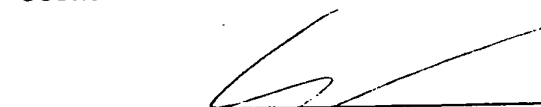
Please send all correspondence relating to this application to the address associated with Customer No. 001095.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Full name of sole  
or first joint inventor

**Joshua SHUA-HAIM**

Inventor's signature



Date

9/29/05  
(day/month/year)

Residence

**Eatontown, NJ 07724, USA**

Citizenship

**citizen of USA**

Post Office Address

**5 Musket Lane  
Eatontown, NJ 07724  
USA**

Full name of second  
joint inventor, if any

**Ferenc MARTENYI**

Inventor's signature



Date

(day/month/year)

Residence

**1061 Budapest, Hungary**

Citizenship

**citizen of Hungary**

Post Office Address

**Andrassy ut 14  
1061 Budapest  
Hungary**

**IMPORTANT:** Before this declaration is signed, the patent application (the specification, the claims and this declaration) must be read and understood by each person signing it, and no changes may be made in the application after this declaration has been signed.



**DECLARATION AND POWER OF ATTORNEY FOR UNITED STATES PATENT APPLICATION**

☒ Original ☐ Supplemental ☐ Substitute

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name, and

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if more than one name is listed below) of the subject matter which is claimed and for which a United States patent is sought on the invention entitled

**Use of Carbamazepine Derivatives for the Treatment of Agitation in Dementia Patients**

the specification of which:

☐ is attached hereto.

☐ was filed on \_\_\_\_\_ as Application No. \_\_\_\_\_  
(day/month/year)

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☐ was amended on \_\_\_\_\_  
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COUNTRY/REGION (OR P.C.T.)	APPLICATION No.	FILING DATE (day/month/year)	PRIORITY CLAIMED
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<input type="checkbox"/> Yes	<input type="checkbox"/> No
<input type="checkbox"/> Yes	<input type="checkbox"/> No
<input type="checkbox"/> Yes	<input type="checkbox"/> No
<input type="checkbox"/> Yes	<input type="checkbox"/> No
<input type="checkbox"/> Yes	<input type="checkbox"/> No

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APPLICATION NO.	FILING DATE (day/month/year)
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60/459338

01.04.2003

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Please send all correspondence relating to this application to the address associated with Customer No. 001095.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

---

Full name of sole  
or first joint inventor **Joshua SHUA-HAIM**

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
(day/month/year)

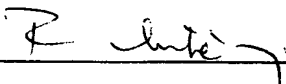
Residence **Eatontown, NJ 07724, USA**

Citizenship **citizen of USA**

Post Office Address **5 Musket Lane  
Eatontown, NJ 07724  
USA**

---

Full name of second  
joint inventor, if any **Ferenc MARTENYI**

Inventor's signature  Date 07.10.2005  
(day/month/year)

Residence **1061 Budapest, Hungary**

Citizenship **citizen of Hungary**

Post Office Address **Andrassy ut 14  
1061 Budapest  
Hungary**

---

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